

06-03-05

IFW 3628/B

CF/002

THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Stuart A. Fraser et al.
Application No. : 09/553,423 Confirmation No. : 3987
Filed : April 19, 2000
For : SYSTEMS AND METHODS FOR TRADING
Group Art Unit : 3628
Examiner : Harish T. Dass

New York, New York
June 1, 2005

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

EXPRESS MAIL CERTIFICATION

"Express Mail" Mailing Label No. EV619635174US

Date of Deposit June 1, 2005

I hereby certify that this transmittal letter and the other papers and fees identified in this transmittal letter as being transmitted herewith are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. § 1.10 on the date indicated above and are addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

TRANSMITTAL LETTER

Sir:

Transmitted herewith: ☒ a Reply to Office Action; ☒ Second Supplemental Information Disclosure Statement (in duplicate); ☒ a PTO/SB/08A Form (in duplicate); and ☒ Limited Recognition Under 37 CFR §10.9(b) to be filed in the above-identified patent application.

FEE FOR ADDITIONAL CLAIMS

☒ A fee for additional claims is not required.

☐ A fee for additional claims is required.

The additional fee has been calculated as shown below:

	Claims Remaining After Amendment	Highest Number Previously Paid for	Present Extra	Rate	Fees
TOTAL CLAIMS	40	- 40*	= 0	x \$ 50	= \$0.00
INDEPENDENT CLAIMS	13	- 13**	= 0	x \$200	= \$0.00
FIRST PRESENTATION OF A MULTIPLE DEPENDENT CLAIM				+ \$360	= \$0.00
* If less than 20, insert 20.				TOTAL	<u>\$0.00</u>

** If less than 3, insert 3.

☐ A check in the amount of \$_____ in payment of the filing fee is transmitted herewith.

☒ The Director is hereby authorized to charge payment of any additional filing fees required under 37 C.F.R. § 1.16, in connection with the paper(s) transmitted herewith, or credit any overpayment of same, to deposit Account No. 06-1075 (Order No. 000741-0002). A duplicate copy of this transmittal letter is transmitted herewith.

☐ Please charge \$_____ to Deposit Account No. 06-1075 (Order No. 000741-0002) in payment of the filing fee. A duplicate copy of this transmittal letter is transmitted herewith.

EXTENSION FEE

☒ The following extension is applicable to the Response filed herewith; ☒ \$120.00 extension fee for response within first month pursuant to 37 C.F.R. § 1.136(a); ☐ \$450.00 extension fee for response within second month pursuant to 37 C.F.R. § 1.136(a); ☐ 1,020.00 extension fee for response within third month pursuant to 37 C.F.R. § 1.136(a); ☐ \$1,590.00 extension fee for response within fourth month pursuant to 37 C.F.R. § 1.136(a); \$2,160.00 within fifth month pursuant to 37 C.F.R. § 1.136(a).

☐ A check in the amount of ☐ \$120.00; ☐ \$450.00; ☐ \$1,020.00; ☐ \$1,590.00; ☐ \$2,160.00 in payment of the extension fee is transmitted herewith.

☒ The Director is hereby authorized to charge payment of any additional fees required under 37 C.F.R. § 1.17 in connection with the paper(s) transmitted herewith, or to credit any overpayment of same, to Deposit Account No. 06-1075 (Order No. 000741-0002). A duplicate copy of this transmittal letter is transmitted herewith.

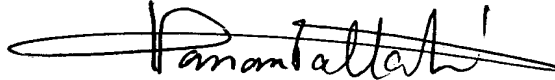
☒ Please charge the ☒ \$120.00; ☐ \$450.00; ☐ \$1,020.00; ☐ \$1,590.00; ☐ \$2,160.00; extension fee to Deposit Account No. 06-1075 (Order No. 099999-0099). A duplicate copy of this transmittal letter is transmitted herewith.

INFORMATION DISCLOSURE STATEMENT

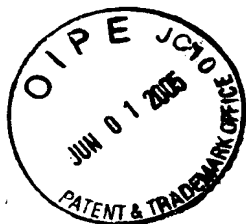
☒ Applicants submit herewith a Second Supplemental Information Disclosure Statement after the period specified in 37 C.F.R. §1.97(b) and before the mailing date of any of a final action, a notice of allowance, or an action that otherwise closes prosecution in the application. Therefore, in accordance with 37 C.F.R. §1.97(c), the Director is hereby authorized to charge payment of fee of \$180.00 as set forth in 37 C.F.R. §1.17(p) to Deposit Account No. 06-1075 (Order No. 000741-0002). A duplicate copy of this transmittal letter is transmitted herewith.

[X] The Director is hereby authorized to charge payment of any additional fees required in connection with this Statement, or credit any overpayment of the same, to Deposit Account No. 06-1075 (Order No. 000741-0002). A duplicate copy of this transmittal letter is transmitted herewith.

Respectfully submitted,

A handwritten signature in dark ink, appearing to read 'Hassan Albakri', is written over a horizontal line.

Hassan Albakri
(Limited Recognition)
Agent for applicant
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CF/002

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

PATENT APPLICATION

Applicants : Stuart A. Fraser et al.
Application No. : 09/553,423 Confirmation No. : 3987
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For : SYSTEMS AND METHODS FOR TRADING
Examiner : Harish T. Dass

New York, New York
June 1, 2005

Commissioner for Patents
P.O. Box 1450
Alexandria, Virginia 22313-1450

SECOND SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Sir:

In accordance with 37 C.F.R. §§ 1.56, 1.97 and
1.98, applicants wish to call the attention of the
Examiner to the following documents:

U.S. Patent Documents

Wagner	4,903,201	02-20-1990
Miller et al.	5,640,569	06-17-1997
Fraser et al.	5,905,974	05-18-1999
Silverman et al.	5,924,082	07-13-1999
May	6,317,727 B1	11-13-2001
Kou	6,363,365 B1	03-26-2002

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Foreign Patent Documents

PCT	WO 96/05563 A1	02-22-1996
EPO	EP 0828223 A2	03-11-1998
PCT	WO 98/34187 A1	08-06-1998
PCT	WO 00/26745 A2	05-11-2000

OTHER DOCUMENT

eBay, eBay Inc., at <http://www.ebay.com> (printed May 27, 2005).

These documents are listed on the accompanying Form PTO/SB/08A (submitted in duplicate) and copies are enclosed herewith.

Applicants reserve the right to establish the patentability of the claimed invention over any of the information provided herewith, and/or to prove that this information may not be prior art, and/or to prove that this information may not be enabling for the teachings purportedly offered.

It is respectfully requested that these documents be: (1) fully considered by the Patent and Trademark Office during the examination of this application; and (2) printed on any patent which may issue on this application. Applicants request that a copy of Form PTO/SB/08A, as considered and initialized by the Examiner, be returned with the next communication.

This Statement is submitted after the period specified in 37 C.F.R. §1.97(b) and before the mailing date of any of a final action, a Notice of Allowance, or an action that otherwise closes prosecution in this application. In accordance with 37 C.F.R. §1.97(c), the Director is hereby authorized to charge payment of the fee of \$180.00 as set forth in 37 C.F.R. §1.17(p) in connection with this Statement, as well as any additional fees or credit any overpayment of the same, to Deposit Account No. 06-1075 (Order No. 000741-0002). A duplicate copy of this Statement is transmitted herewith.

Consideration of the foregoing in relation to this patent application is respectfully requested.

Respectfully submitted,



Hassan Albakri
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Substitute for form 1449/PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Sheet 1 of 1

Complete if known

Application Number	09/553,423
Confirmation Number	3987
Filing Date	April 19, 2000
First Named Inventor	Stuart A. Fraser
Art Unit	3628
Examiner Name	Dass, Harish T.
Attorney Docket Number	CF/002

U.S. PATENT DOCUMENTS

Examiner initials*	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Documents	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code ² (if known)			
		US-4,903,201	02-20-1990	Wagner	
		US-5,640,569	06-17-1997	Miller et al.	
		US-5,905,974	05-18-1999	Fraser et al.	
		US-5,924,082	07-13-1999	Silverman et al.	
		US-6,317,727 B1	11-13-2001	May	
		US-6,363,365 B1	03-26-2002	Kou	

Examiner Signature		Date Considered	
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FOREIGN PATENT DOCUMENTS

Examiner initials	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Documents	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Country Code ¹ - Number ² - Kind Code ³				
		WO 96/05563 A1	02-22-1996	Reuters Ltd		
		EP 0828223 A2	03-11-1998	Hitachi Ltd		
		WO 98/34187 A1	08-06-1998	Autocom APS		
		WO 00/26745 A2	05-11-2000	HSX, Inc.		

Examiner Signature		Date Considered	
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NON PATENT LITERATURE DOCUMENTS

Examiner initials	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue numbers (s), publisher, city and/or country where published	T ⁶
		eBay, eBay Inc., at http://www.ebay.com (printed May 27, 2005)	

Examiner Signature		Date Considered	
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* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language translation is attached.